



**The Research
Foundation for**

The State University of New York

EFFORT CERTIFICATION AND REPORTING TECHNOLOGY (ECRT)

**Administrator Supplemental
Training Materials
(Part 4 of 4)**

May 2013

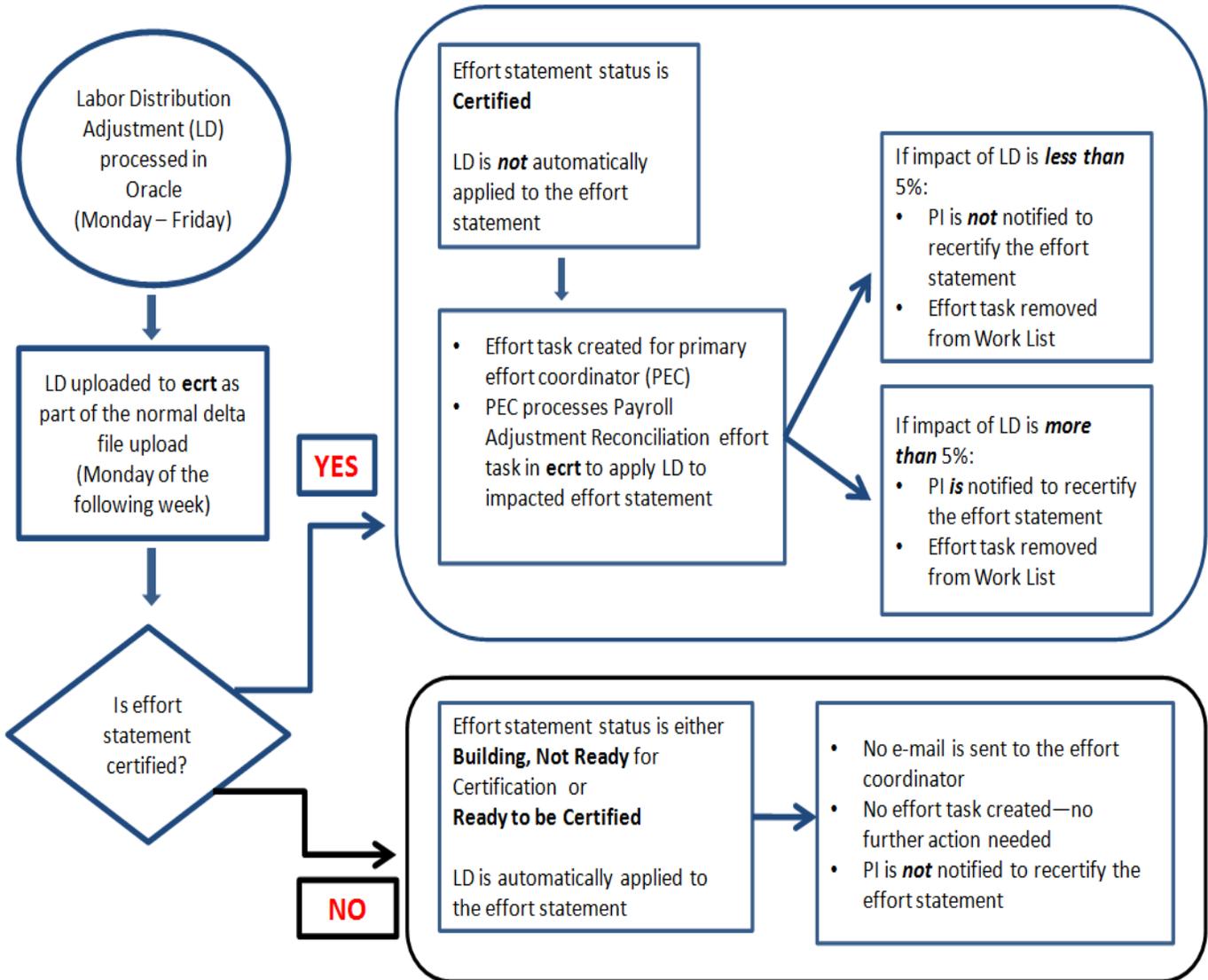


Table of Contents

Topic	Page(s)
Labor Distribution Adjustment Process in ecrt	3-5
Committed Effort	6-10
Monitoring Core Information for SUNY ecrt Users.....	11-16
Nonexempt Employees.....	17
Awards with Projects at Multiple Locations	18-19
Award with Projects at Multiple Locations: Example	20-21
Reconciliation of SUNY Payroll Data	22-24
Effort Reporting Cycles: Academic Year Campuses	25-27
Effort Reporting Cycles: Half-Year Campuses	28-29
Effort Reporting Checklist	30-33
Effort Reporting Glossary of Terms.....	34-35
Change History	36

Labor Distribution Adjustment Process in ecrt

The following diagram and table illustrate the labor distribution adjustment process (LD).



LD is processed during...	Effort Statement Status	Impact in ecrt	Action to be taken	E-mail
Period of performance	Building, Not Ready for Certification (Current period)	LD is automatically applied by ecrt to the impacted effort statement	No further action is necessary	No e-mail is sent
	Certified (Prior period)	An effort task is created for the primary effort coordinator (PEC). The impact of the LD is less than 5 percent	The PEC processes the effort task	No e-mail is sent
		An effort task is created for the primary effort coordinator (PEC). The impact of the LD is more than 5 percent	The PEC processes the effort task. The PI will be notified to recertify the effort statement	E-mail automatically sent by ecrt after the PEC processes the effort task
Pre-review period	Building, Not Ready for Certification (Current period)	LD is automatically applied by ecrt to the impacted effort statement	No further action is necessary	No e-mail is sent
	Certified (Prior period)	An effort task is created for the primary effort coordinator (PEC). The impact of the LD is less than 5 percent	The PEC processes the effort task	No e-mail is sent
		An effort task is created for the primary effort coordinator (PEC). The impact of the LD is more than 5 percent	The PEC processes the effort task. The PI will be notified to recertify the effort statement	E-mail automatically sent by ecrt after the PEC processes the effort task

LD is processed during...	Effort Statement Status	Impact in ecrt	Action to be taken	E-mail
Certification period	Ready to be Certified (Current period)	LD is automatically applied by ecrt to the impacted effort statement	Recommendation: If you know that a LD will be processed, and the effort statement has not been certified yet, place the effort statement on hold until the LD is processed.	No e-mail is sent
	Certified (Current period or Prior period)	An effort task is created for the primary effort coordinator (PEC). The impact of the LD is less than 5 percent	The PEC processes the effort task	No e-mail is sent
		An effort task is created for the primary effort coordinator (PEC). The impact of the LD is more than 5 percent	The PEC processes the effort task. The PI will be notified to recertify the effort statement	E-mail automatically sent by ecrt after the PEC processes the effort task
LD impacts effort statement from 2011 or earlier	Automatically Processed	The impact of the LD is less than 5 percent	No further action is necessary	No e-mail is sent
		The impact of the LD is more than 5 percent	The effort coordinator needs to create a manual effort statement. The PI will need to recertify the manual effort statement.	E-mail is sent from the effort coordinator to the PI

Note:

If a labor distribution adjustment impacts effort statements for more than one period of performance, the impact in **ecrt**—and the resulting action to be taken—is dependent on the effort statement status. Refer to the table above for the impact and actions to be taken.

Committed Effort

Committed effort is the amount or percentage of time that faculty members, researchers or senior/key personnel commit to (agree to work on) a specific sponsored project. The commitment is set at the time a proposal is submitted by a campus and accepted by the sponsor. Committed effort may not always equal paid effort; it is not necessarily the actual effort expended, but a projected amount to be achieved over a period of time. Commitments are specific and quantified, and are generally expressed in terms of a percentage or person months of work time over a given project period.

Committed effort documentation can be obtained from the:

- Award document
- Proposal
- Budgets
- Budget justifications
- Narratives

Commitments are recognized and must be tracked for:

- The principal investigator (PI)/project director
- All co-investigators
- All persons identified as senior/key personnel in the award document, grant application (proposal) or other project applications:
 - Sponsoring agency's definition of Key Personnel if one exists
 - NIH defines key personnel as individuals who contribute to the scientific development or execution of the project in a substantive, measurable way. Typically, these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level should be included if their involvement meets the definition of Key personnel. (http://grants.nih.gov/grants/policy/senior_key_personnel_faqs.htm#1658)
 - NSF defines key personnel as an individual other than PI(s) considered essential to the overall successful performance of the organization in fulfilling its responsibilities under the agreement, and who will participate in the project being supported. (<http://www.nsf.gov/pubs/2007/nsf07033/nsf07033.txt>)

The following information needs to be added to the Oracle **Committed Effort Information** form:

- PI, co-PI, or key personnel name
- Person's role – for example if they are one of the following please list what they are
 - PI
 - Co-PI
 - Key personnel
- Committed effort that is documented either by:
 - Percentage
 - Person months
- Committed effort effective dates (format DD-MMM-YYYY):
 - Effective from
 - Effective to

Recording Committed Effort Information in the Oracle Grants Management Module

Responsibilities with Access

- To add or change data:
 - ORG Account Establishment Administrator
 - ORG Account Establishment Specialist
 - ORG Account Est Spec with Budget Appr
- To view data **only**:
 - ORG Grants Inquiry
 - KEY Key Member
 - Grants Inquiry
 - ORG CR-Specialist
 - ORG CR-Transfer
 - ORG Central Office CR-Specialist
 - ORG OGM-Billing Specialist

1. Open the Oracle **Award Management** form for the individual whose effort you need to record.
2. Go to the **Personnel** tab.
3. Click the **Committed Effort Information** button:

The screenshot shows the Oracle Grants Management form for award number 40025. The form is titled "Award Management - ORG Grants Inquiry @ RFPROD - 07-FEB-2013". The award details include:

- Number: 40025
- Short Name: 110 A-Bands of Cardia
- Full Name: Dynamics of Protiens in the A-ba
- Start Date: 01-MAR-2006
- Close Date: 01-OCT-2012
- Purpose: Grant
- Organization: 110 Anatomy
- Award Amount: 1,360,907.00
- Funding Source Name: National Heart Lung a
- Funding Source Award Number: 5R01HL08042605
- Pre-Award Date: (empty)
- End Date: 28-FEB-2012
- Award Type: Federal
- Status: Closed
- Funded Amount: 1,360,907.00

 The "Personnel" tab is selected, and the "Committed Effort Information" button is highlighted with a red box. Below the button is a table showing the committed effort information:

Full Name	Award Role	From	Effective To	Required
Manager, Default Award	Award Manager	01-MAR-2006		<input type="checkbox"/>
	Principal Investigator	15-MAY-2006		<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>

4. The **RF Committed Effort Information** form opens.

Note: If committed effort information was not previously saved, Oracle will automatically fill in the person with an active assignment and the role of “Principal Investigator” and/or “Co-Principal Investigator.”

Award Number

Committed Effort Information: Committed effort is the amount or percentage of time that a faculty member, researcher or others commits (agreed to work on) to a specific sponsored project. Commitments are specific and quantified, and are generally expressed in terms of a percentage or person months of work time over a given project period. Commitments are recognized and must be tracked for the principal investigator/project director, and all co-investigators, and all persons identified as senior/key personnel in the award document, grant application (proposal) or other project application.

Person Name	Employee Number	Person Role	Committed Effort Percent	Committed Effort Person Months	Committed Effort From Date	Committed Effort To Date
		Principal Investigator		2.10	01-MAR-2011	28-FEB-2012

5. Enter the following fields:

Field	Optional or Required	Action/Description
Award Number	Automatically filled in by Oracle	The award number from the Award Management form.
Person Name	Required	Select the individual’s name from the drop-down List of Values (LOV).
Employee Number	Automatically filled in by Oracle	The RF employee identification number for the person selected in the Person Name field.
Person Role	Required	Select Principal Investigator, Co-Principal Investigator or Other Key Personnel from the drop-down LOV.
Committed Effort Percent	Optionally Required	Enter the percentage of committed effort including two decimal places after the decimal, e.g., 100.00 or 23.50. Note: You are required to enter committed effort either in percentages or in person months— <i>not both</i> .
Committed Effort Person Months	Optionally Required	Enter committed effort information in months. Include two decimal places after the decimal, e.g., 100.00 or 2.10. Note: You are required to enter committed effort either in percentages or in person months— <i>not both</i> .
Committed Effort From date	Required	Enter the start date of the effort commitment in DD-Month-YYYY, e.g., 01-MAR-2011.
Committed Effort To Date	Required	Enter the end date of the effort commitment in DD-Month-YYYY, e.g., 28-FEB-2012.

6. Add more rows as needed to add committed effort information for different periods for the PI, co-PI and/or other key personnel. There should be multiple rows if the commitment is different over different periods.

For Example: If a PI commits to 10 percent effort during the academic year and 100 percent during the summer period on an award that runs from September 1, 2012 – August 31, 2013 the **RF Committed Effort Information** form should contain two rows of data for that PI:

- **Row 1 (for the academic period):**
 - Committed Effort Percent: 10.00
 - Committed Effort From Date: 01-SEP-2012
 - Committed Effort To Date: 31-MAY-2012
- **Row 2 (for the summer period):**
 - Committed Effort Percent: 100.00
 - Committed Effort From Date: 01-JUN-2013
 - Committed Effort To Date: 31-AUG-2013

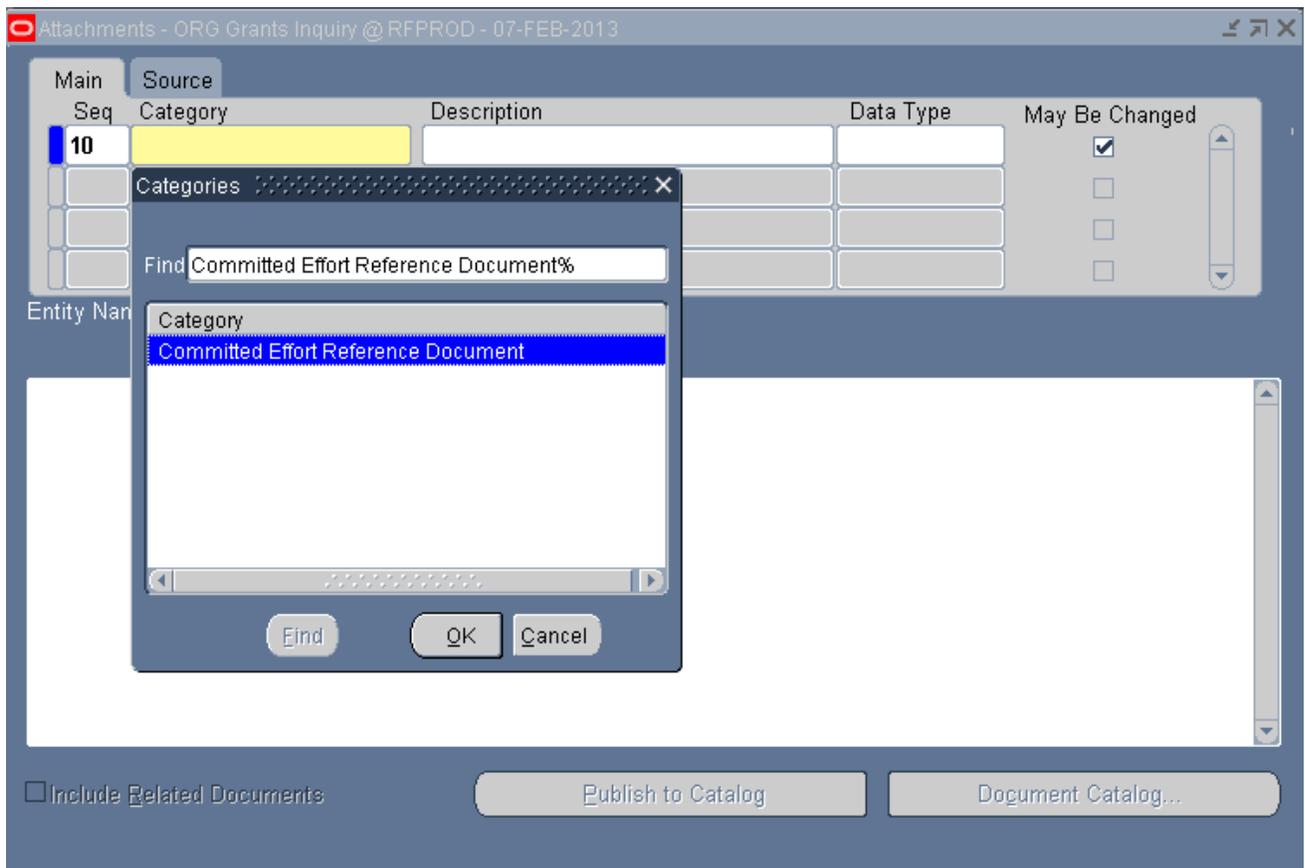
Edits on the RF Committed Effort Information Form

- A person can be listed additional times on the form as long as the effective from and to dates are not overlapping. If the dates overlap you will see the following error message “Person already has committed effort recorded for this period on this award.”
- The **Effective From Date** must fall within the award start and end dates. If it does not you will see the following error message “Must Fall within Award Period.”
- The **Effective To Date** must be after the award start. If it does not you will see the following error message “Must Fall within Award Period.”
- You cannot enter a negative committed effort percent or person months. If a negative value is entered you will see the following error message “Negative not allowed.”
- You cannot complete both the **Committed Effort Percent** and **Committed Effort Person Months** fields **on the same row**. If you do you will see an error message “Cannot have Percent and Person Months at the same time, complete only one.”

Additional Functionality

If you make and save changes to the **Award Management** form you will see the following reminder message
“Note: Changes made to award, review Committed Effort Information.”

You may attach documentation about committed effort information by using the **Committed Effort Reference Document** category on the **Attachment** form:



Monitoring Core Information for SUNY ecrt Users

Purpose: To verify the accuracy of core information for SUNY individuals who will use **ecrt**. Core information includes:

- An e-mail address.
- A primary department.
- A job title.

Relevance to Effort Reporting Process:

All users must have an e-mail address to use the **ecrt** workflow functions.

Department name and job title information is visible to principal investigators (PIs) in **ecrt** and is also listed on some **ecrt** reports. To reduce confusion for PIs, and improve functionality for effort reporting administrators, it is important that a primary department and a job title are entered for individuals with an active SUNY assignment. Otherwise the department name is displayed as “SUNY IFR Cost Sharing” and the job title is displayed as “No Job Required” in **ecrt**.

The [SUNY IFR/Cost Sharing Appointment/Change Form](#) was updated so that users can include e-mail address, primary department name and job title information.

Monitoring Process

The Discoverer query **HR_Active SUNY Assignment Details** identifies missing or incorrect data for individuals with an active SUNY assignment. The query includes all SUNY employees with an assignment status that does **not** equal “Terminated.” The data will be as of the prior day.

1. Log in to **Discoverer**.
2. Run the **HR_Active SUNY Assignment Details** query.
Note: You will need a **XXX Discoverer HR** responsibility to run this query.
3. Export the results to Excel and save them.
4. Identify individuals with missing information.
5. Notify your campus office responsible for entering and maintaining the Oracle **People** and **Assignment** forms.

Corrective Actions

Missing or Incorrect E-mail Addresses, Department Names and Job Titles

Contact the campus office responsible for entering and maintaining the Oracle **People** and **Assignment** forms.

Note: Refer to the “Instructions to Add or Update E-mail Addresses, Department Name and Job Title” section of this document.

SUNY Individuals No Longer at the Campus

Contact the campus office responsible for entering and maintaining the Oracle **Assignment** form. The assignment status for these individuals needs to be changed to **Terminated**.

Instructions to Add or Update E-mail Addresses, Department Name and Job Title

Note: You will need an HR Oracle responsibility to update the Oracle **People** and **Assignment** forms.

Add or Update an E-mail Address

1. Open the individual's **People** form.
2. Click the **Office Details** tab.
3. Enter the individual's e-mail address in the **Email** field:

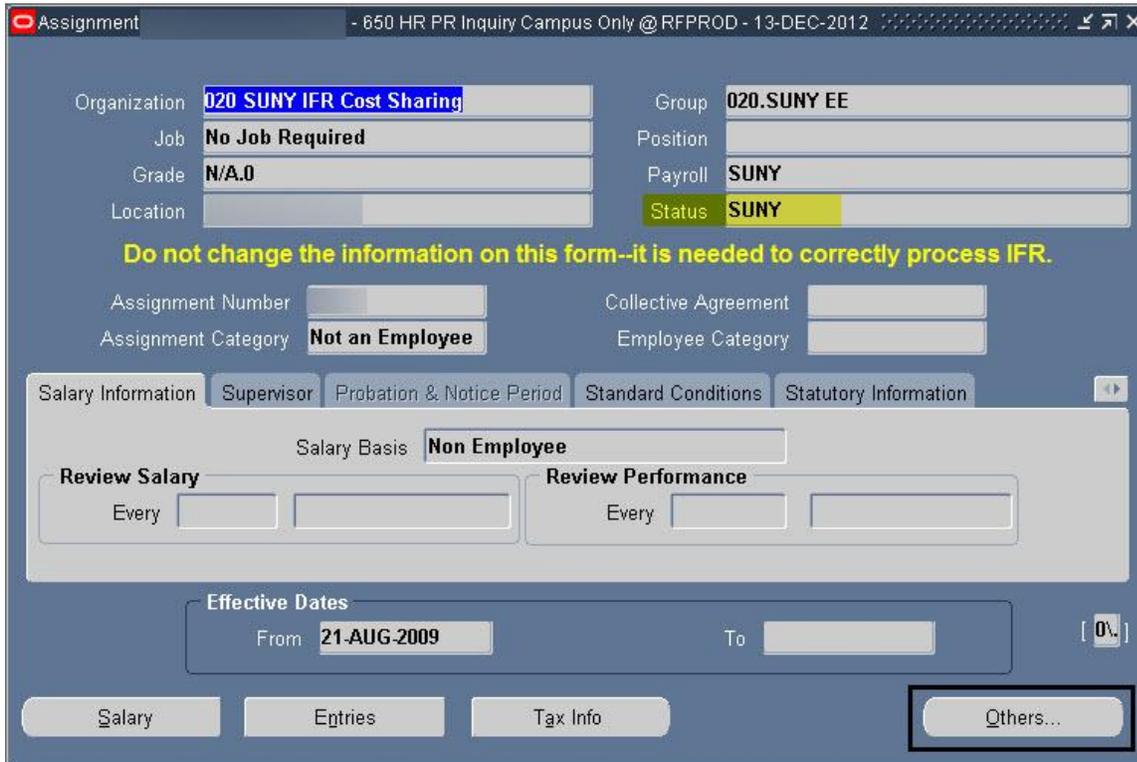
The screenshot shows the Oracle HR People form, Office Details tab. The form is titled "No Contact - 650 HR PR Inquiry Campus Only @ RFPROD - 13-DEC-2012". The "Office Details" tab is selected and highlighted with a black box. The "Email" field is highlighted in yellow and also has a black box around it. The "Effective Dates" section shows "From 01-MAR-2010" and "To" (empty). The "Latest Start Date" is "23-NOV-2005" with a "[NC]" button. The "Address" button is highlighted in light blue. The "Person Type Usage" button is highlighted in light blue. The "Assignment" button is highlighted in light blue. The "Special Info" button is highlighted in light blue. The "Others..." button is highlighted in light blue.

4. Save the form.

Add or Update Department Names and Job Titles for SUNY Employees

1. Open the individual's **Assignment** form:

Note: The **Status** field must have **SUNY** in it for SUNY employees. Campuses should not make any changes to the steps used to process income fund reimbursable (IFR) transactions for SUNY employees. More information about these transactions is available in the ["Income Fund Reimbursable \(IFR\) and Cost Sharing \(CS\) Assignments" document](#).



Assignment - 650 HR PR Inquiry Campus Only @ RFPROD - 13-DEC-2012

Organization: **020 SUNY IFR Cost Sharing** Group: **020.SUNY EE**
Job: **No Job Required** Position:
Grade: **N/A.0** Payroll: **SUNY**
Location: Status: **SUNY**

Do not change the information on this form--it is needed to correctly process IFR.

Assignment Number: Collective Agreement:
Assignment Category: **Not an Employee** Employee Category:
Salary Information | Supervisor | Probation & Notice Period | Standard Conditions | Statutory Information

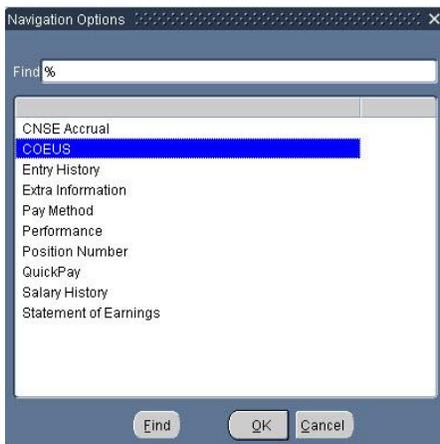
Salary Basis: **Non Employee**

Review Salary: Every
Review Performance: Every

Effective Dates: From **21-AUG-2009** To
[0%]

Salary | Entries | Tax Info | **Others...**

2. Click the **Others** button to open Navigation Options:



Navigation Options

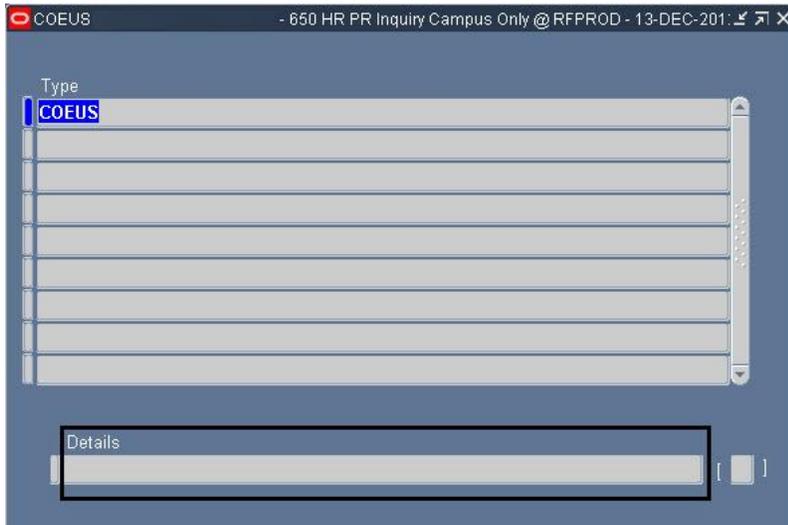
Find %

- CNSE Accrual
- COEUS**
- Entry History
- Extra Information
- Pay Method
- Performance
- Position Number
- QuickPay
- Salary History
- Statement of Earnings

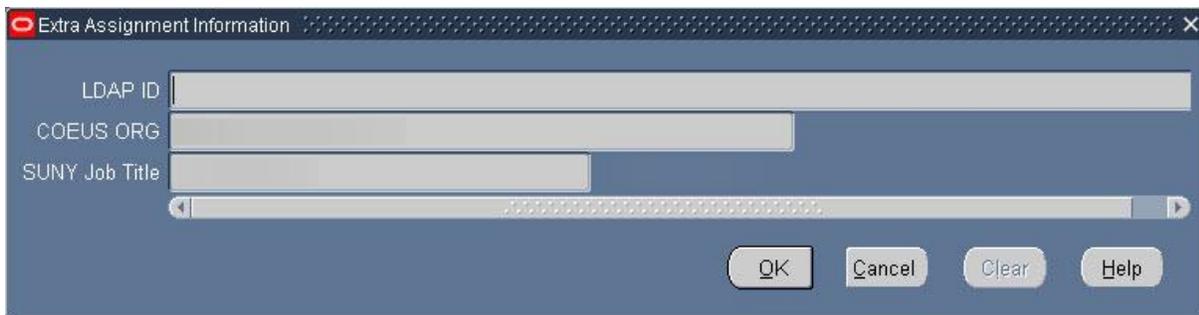
Find OK Cancel

3. Click to select **COEUS**.

4. Click **OK** to open the COEUS form:



5. Double-click in the **Details** section to open the Extra Assignment Information form.



6. Select a department from the List of Values in the **COEUS ORG** field.

7. Select a SUNY job title from the List of Values in the **SUNY Job Title** field.

8. Click **OK**.

Available Job Title Values

Value in SUNY Job Title Drop-down List	Description
Adj Assoc Professor	Adjunct Assoc Professor
Adj Asst Professor	Adjunct Asst Professor
Adjunct Professor	Adjunct Professor
Assoc Dean	Assoc Dean
Assoc Director	Assoc Director
Assoc Prof Emeritus	Assoc Professor Emeritus
Assoc Profess&Chair	Assoc Professor & Chair
Assoc Profess&Dir	Assoc Professor & Director
Assoc Professor	Assoc Professor
Assoc Vice President	Assoc Vice President
Asst Dean	Asst Dean
Asst Prof&Dir	Asst Professor & Director
Asst ProfessEmeritus	Asst Professor Emeritus
Asst Professor	Asst Professor
Asst Vice President	Asst Vice President
Cardiology Assoc	Cardiology Assoc
Cardiology Special	Cardiology Specialist
Clin Assoc Prof	Clinical Assoc Professor
Clin Asst Professor	Clinical Asst Professor
Clin Investigator	Clinical Investigator
Clin Nutritionist	Clinical Nutritionist
Clin Physician	Clinical Physician
Clin Professor	Clinical Professor
Clin Research Assoc	Clinical Research Assoc
Dean	Dean
Dir Forest Propert	Director of Forest Properties
Dir Grad Admission	Director Graduate Admissions
Dir Inst Research	Director of Institutional Research
Dir Libraries	Director Libraries
Dir Student Activit	Director Student Activities
Director	Director
Director of IT	Director of IT
Dist Emeritus Prof	Distinguished Emeritus Professor
Dist Prof&Dir	Distinguished Professor & Director
Dist Professor	Distinguished Professor
Dist Sercv Professor	Distinguished Service Prof
Dist Tch Prof&Chair	Distinguished Teaching Professor & Chair
Dist Teach Professor	Distinguished Teaching Professor
Facilities Pgm Coord	Facilities Pgm Coordinator
Instr Spt Specialist	Instructional Support Specialist
Instr Spt Tech	Instructional Support Technician
Instructor	Instructor
Librarian	Librarian
Physical Therapist	Physical Therapist

Value in SUNY Job Title Drop-down List	Description
Postdoctoral Assoc	Postdoctoral Associate
Predoctoral Assoc	Predoctoral Associate
President	President
Princip Investigator	Principal Investigator
Professor	Professor
Professor & Chair	Professor & Chair
Professor & Director	Professor & Director
Professor Emeritus	Professor Emeritus
Project Director	Project Director
Provost	Provost
Provost&VP Acad Aff	Provost & VP for Acad Affairs
Research Assoc Prof	Research Assoc Professor
Research Associate	Research Associate
Research Asst Prof	Research Asst Professor
Research Professor	Research Professor
Senior Scientist	Senior Scientist
Senior Staff Assoc	Senior Staff Associate
Sr Research Assoc	Senior Research Assoc
Sr Research Scientis	Senior Research Scientist
Sr Research Spt Spec	Senior Research Support Specialist
Sr Staff Assistant	Senior Staff Assistant
Sr Staff Assoc&Dir	Senior Staff Associate & Director
Staff Associate	Staff Associate
Unv Instr Special	University Instructional Specialist
VP for Acad Affairs	VP for Acad Affairs
VP for Admin	VP for Administration
VP for Research	VP for Research
VP for Stud Affair	VP for Student Affairs
Vice President	Vice President
Visit Research Assoc	Visiting Research Assoc
Visit Research Schol	Visiting Research Scholar
Visit Research Scien	Visiting Research Scientist
Visiting Assoc Prof	Visiting Assoc Professor
Visiting Asst Prof	Visiting Asst Professor
Visiting Professor	Visiting Professor

Nonexempt Employees

Data for nonexempt employees is included in the data feeds that are uploaded to **ecrt** and users will see:

- Effort statements for these employees.
- Nonexempt employees displayed in some report results.
- Effort tasks for nonexempt labor distribution adjustments on the primary effort coordinators effort task list.

Certification of Nonexempt Employees during Initial ecrt Roll-out

Nonexempt certifications should be completed using the current campus process as we will not use **ecrt** to certify nonexempt employees. Nonexempt effort statements will be automatically processed in **ecrt** via a script that will be run by a central office system administrator.

For academic year campuses that certify effort three times per year the script will be run:

- Spring 2013 period: The next business day after the May 17, 2013 pay period.
- Summer 2013 period: The next business day after the August 9, 2013 pay period.
- Fall 2013 period: Within three business days following the end of the calendar year.

For semiannual campuses that certify effort two times per year the script will be run:

- January 1 – June 30, 2013 period: The next business day after the June 14, 2013 pay period.
- July 1 – December 31, 2013 period: Within three business days following the end of the calendar year.

RF Nonexempt Employees		
Period of Performance		Note
From	To	
1/1/2013	1/25/2013	
1/26/2013	2/22/2013	
2/23/2013	3/22/2013	
3/23/2013	4/19/2013	
4/20/2013	5/17/2013	Script run for academic year campuses
5/18/2013	6/14/2013	Script run for semiannual campuses
6/15/2013	7/12/2013	
7/13/2013	8/9/2013	Script run for academic year campuses
8/10/2013	9/6/2013	
9/7/2013	10/4/2013	
10/5/2013	11/1/2013	
11/2/2013	11/29/2013	
11/30/2013	12/31/2013	Script run for all campuses

Certification of Nonexempt Employees after Initial ecrt Roll-out

Campuses will have the option to use **ecrt** for nonexempt employee effort certification. Send an e-mail to effort@rfsuny.org if you want more information.

Awards with Projects at Multiple Locations

This document explains how [awards with projects at multiple locations](#) are uploaded and displayed in **ecrt**.

Definitions

- Lead Location: The campus location that submits the proposal and receives the award.
- Collaborating Location(s): The campus location(s) performing a portion of the project in collaboration with the lead location.

ecrt Basics

In **ecrt**, salary and wage expenditures at project and task levels are rolled up to the award level. The overall award is referred to as the parent award in **ecrt** and child awards are created for the following:

- a. Salary and wage expenditures applied to the parent award—this child award will have the same award number as the parent award.
- b. Salary and wage expenditures applied to the cost share award for the parent award.

Awards [-]	Salary Charges	Cost Share Charges	Total Charges	Certified Effort	Certify
Sponsored					
53137 Center for Autonomous Solar Power (CASP)					
53137 Center for Autonomous Solar Power (CASP)	12.74%	0.00%	12.74%	12.74%	<input type="checkbox"/>
<i>Award Total:</i>	12.74%	0.00%	12.74%	12.74%	
55650 MRI: Development of a Fully Instrumented Self-Sensing and Self-Regulating Data Center					
55653 Cost Share to Award 55650 National Science Foundation	0.00%	8.34%	8.34%	8.34%	<input type="checkbox"/>
<i>Award Total:</i>	0.00%	8.34%	8.34%	8.34%	

If you click on the child award links (highlighted in blue in **ecrt**) the **Award Summary** page opens with information about the parent award, including:

- Award name, number, type and amount
- Sponsor name and project number
- Award principal investigator (PI)
- The individuals with effort on the award (covered individuals associated with the award)

For cost share child awards, if the self-certifier is not the PI for the parent award, the parent award’s PI will appear on the **Award Summary** page and the self-certifier will be listed as a covered individual associated with the award.

Awards with Projects at Multiple Locations

There are two premises that we used to code the data feeds for awards with projects at multiple locations that effort reporting administrators need to understand:

- Information is uploaded from Oracle to **ecrt** based on location codes to ensure that campuses can only view the information related to their campus.
- Project PIs at the collaborating locations would have better firsthand knowledge of their effort, and the effort of their staff working on the projects, than the PIs at the lead location.

To ensure that effort for projects at collaborating locations appear on effort statements for individuals at those collaborating locations the Oracle data feed is coded so that:

- An additional record including award information from the lead location is created for the collaborating location. This is the parent award at the collaborating location.
- A record is created for the project at the collaborating location. This is the child award at the collaborating location.
- If there are multiple projects under the same award at the collaborating location the first project created is used as the child award.

If the Oracle data feed was not coded this way the effort for projects conducted at collaborating locations would appear on effort statements only at the lead location.

Information Available in ecrt

Information	Lead Location	Collaborating Location
Award Number	The lead location's prime award number	The lead location's prime award number
Principal Investigator (PI)	The award PI from the lead location	The project PI from the collaborating location
Covered Individuals	Individuals from the lead location with effort on the award	Individuals at the collaborating location with effort on the project
Award Summary Information via Manage > Look Up	<p>The award number is listed twice:</p> <ul style="list-style-type: none"> • One is the parent award. • One is the child award. <p>Note: You cannot distinguish one from the other on the Look Up list. To do so you have to select the award and view it:</p> <ul style="list-style-type: none"> • The parent award lists the award PI as a covered individual. • The child award lists the other individuals at the lead location with effort on the project. 	<p>The award number is listed twice:</p> <ul style="list-style-type: none"> • One is the parent award. • One is the child award. <p>Note: You cannot distinguish one from the other on the Look Up list. To do so you have to select the award and view it:</p> <ul style="list-style-type: none"> • The parent award lists the project PI as a covered individual. • The child award lists the other individuals at the collaborating location with effort on the project
Award Summary Information via the Department Dashboard	Award name hyperlink under the Award(s) within this Department: section opens the Award Summary Information for the parent award (only the award PI is listed).	Award name hyperlink under the Award(s) within this Department: section opens the Award Summary Information for the collaborating location's parent award (only the project PI is listed).
Award Summary Information via an effort statement	Award name hyperlink under the Awards column opens the Award Summary Information for the lead location's parent award.	Award name hyperlink under the Awards column opens the Award Summary Information for the collaborating location's child award.

Award with Projects at Multiple Locations: Example

University at Albany: Primary Award Location

The award appears on the effort statement for the award PI:

Effort Statement for Albany PI (Albany SUNY-Monthly); Base effort, from 05/21/2012 to 08/26/2012, due 11/24/2012; Status: Ready to be Certified					
Awards [-]	Salary Charges	Cost Share Charges	Total Charges	Certified Effort	Certify
Sponsored - Federal/Federal Flow-through					
59040 Building a Stable, Supported Workforce: A Comprehensive Workforce Project with New Yorks Voluntary Child Welfare Agencies - Year 4					
59079 Cost Share Award for ACF Award# 59040	0%	11%	11%	\$ 11%	<input type="checkbox"/>
<i>Award Total:</i>	0%	11%	11%	11%	
59109 National Child Welfare Workforce Institute - Year 4					
59122 Cost Share Award for ACF Award# 59109	0%	16%	16%	\$ 16%	<input type="checkbox"/>
<i>Award Total:</i>	0%	16%	16%	16%	
59795 Workforce and System Development of Family Assistance and Affiliated Organizations - Workplan # 3, C021245					
59797 Cost Share Award for NYSOTDA Award #59795	0%	1%	1%	\$ 1%	<input type="checkbox"/>
<i>Award Total:</i>	0%	1%	1%	1%	
59874 Workforce and System Development of Family Assistance and Affiliated Organizations Workplan - ST07, C026462					
59874 Workforce and System Development of Family Assistance and Affiliated Organizations Workplan - ST07, C026462	2%	0%	2%	\$ 2%	<input type="checkbox"/>
<i>Award Total:</i>	2%	0%	2%	2%	

Award summary information displays the Albany award PI when you hover over the parent award and when you click the award hyperlink on the effort statement:

Award Summary

Award Name:	Workforce and System Development of Family Assistance and Affiliated Organizations Workplan - ST07, C026462	
Award Number:	59874	
Award Type:	Federal Flow Through	
Award Amount:	\$11,534,970.00	
Award Sponsor Name:	NYS Office of Children and Family Services	
Award Sponsor Number:	1218	
Award Sponsor Project Number:	C004090	
Award PI:	Albany PI	(Primary Effort Coordinator: Daniel W. Whaley - View)
Award Owner:	N/A	
Start to End Date:	01/01/2012 to 12/31/2012	
Exception Award:	<input type="checkbox"/>	
Cost Sharing Requirement:	<input type="checkbox"/>	
K-Award:	<input type="checkbox"/>	

University at Buffalo: Collaborating Location with a Project

Effort statement for project PI:

Effort Statement for UB PI (Buffalo RF-Biweekly); Base effort, from 05/19/2012 to 08/24/2012, due 11/22/2012; Status: Ready to be Certified					
On Hold: <input type="checkbox"/> \$ Value Override Status					
Awards [-]	Salary Charges	Cost Share Charges	Total Charges	Certified Effort	Certify
Sponsored - Federal/Federal Flow-through					
52225 Chautauqua Evaluation Project					
52225 Chautauqua Evaluation Project	63.51%	0.00%	63.51%	\$ 63.51%	<input type="checkbox"/>
<i>Award Total:</i>	<i>63.51%</i>	<i>0.00%</i>	<i>63.51%</i>	<i>63.51%</i>	
59874 Workforce and System Development of Family Assistance and Affiliated Organizations Workplan - ST07, C026462					
59874 Workforce and System Development of Family Assistance and Affiliated Organizations Workplan - ST07, C026462	29.06%	0.00%	29.06%	\$ 29.06%	<input type="checkbox"/>
<i>Award Total:</i>	<i>29.06%</i>	<i>0.00%</i>	<i>29.06%</i>	<i>29.06%</i>	

Award summary information displays the UB project PI when you hover over the parent award and when you click the award hyperlink on the effort statement:

Award Summary

Award Name: Workforce and System Development of Family Assistance and Affiliated Organizations Workplan - ST07, C026462
 Award Number: 59874
 Award Type: Federal Flow Through
 Award Amount: \$1,922,495.00
 Award Sponsor Name: NYS Office of Children and Family Services
 Award Sponsor Number: 1218
 Award Sponsor Project Number: C004090
 Award PI: **UB PI** (Primary Effort Coordinator: Susan E Boerst - )
 Award Owner: N/A
 Start to End Date: 01/01/2012 to 12/31/2012
 Exception Award:
 Cost Sharing Requirement:
 K-Award:

Reconciliation of SUNY Payroll Data

There will be situations when the Oracle payroll data will not appear to match the **ecrt** payroll data. Most of the times this is the result of pay periods that crossover effort reporting periods of performance. In these cases you will need to prorate the payroll data to get it to agree between Oracle and **ecrt**.

This document outlines the steps to prorate SUNY payroll data.

SUNY Employees

The effort reporting periods of performance for SUNY monthly employees coincide with the academic semester dates, e.g., January 1 - May 23, 2012. However, SUNY payroll data is updated to Oracle on a monthly basis. For SUNY employees you will need to know the number of working days in the SUNY month. The [IFR/CS Appointment Calculation of Award Charges Spreadsheet](#) includes a table of the SUNY work days by month.

Prorating SUNY Payroll Data

This example uses a monthly rate calculation to reconcile payroll data for a SUNY 12-month employee's spring 2012 effort statement. The effort reporting period of performance is January 1 – May 23, 2012.

1. Run the **ecrt** "Payroll Report" for the individual.
2. Perform a PIAI People inquiry for same individual with item end date of 31-MAY-2012.

ecrt Payroll Report:

Award	Pay Period	Payroll	Pay %	Employee Type	Payroll Type
000257 - 020 Other Institutional Activities	01/02/2012 to 01/31/2012	10843.96	19.74209	Binghamton SUNY-Monthly	Base
000257 - 020 Other Institutional Activities	02/01/2012 to 02/29/2012	10351.06	18.84474	Binghamton SUNY-Monthly	Base
000257 - 020 Other Institutional Activities	03/01/2012 to 03/30/2012	10843.96	19.74209	Binghamton SUNY-Monthly	Base
000257 - 020 Other Institutional Activities	04/02/2012 to 04/30/2012	10351.06	18.84474	Binghamton SUNY-Monthly	Base
000257 - 020 Other Institutional Activities	05/01/2012 to 05/23/2012	6193.61	11.27585	Binghamton SUNY-Monthly	Base
		Total:	48583.65		

PIAI People Inquiry:

PER7 - Actual Expenditure Details

Employee Number:
 Person Name:
 Expenditure Type: SWM Salaries Oth Inst Activity
 Organization: 020 SUNY IFR Cost Sharing
 Expenditure Start Date: 01-JAN-2012
 Expenditure End Date: 31-MAY-2012

Award	Project	Task	Expenditure Item Date	Posted Date	Actual Expenditure	Comments
000257	1013538	1	31-JAN-12	January -2012	10,843.96	O:PAY:1 2012 Calendar Month:
000257	1013538	1	29-FEB-12	February -2012	10,351.06	O:PAY:2 2012 Calendar Month:
000257	1013538	1	30-MAR-12	March -2012	10,843.96	O:PAY:3 2012 Calendar Month:
000257	1013538	1	30-APR-12	April -2012	10,351.06	O:PAY:4 2012 Calendar Month:
000257	1013538	1	31-MAY-12	May -2012	8,379.59	O:PAY:5 2012 Calendar Month:
					50,769.63	

3. Compare the payroll listed for each pay period on the **ecrt** payroll report and the PIAI People Inquiry.
4. As you see in the above screen shots, the payroll for the May 2012 pay period (highlighted in yellow) does not match.
5. You will need to prorate the May 2012 PIAI payroll amount to determine how much of it is applicable to the spring 2012 effort reporting period.
6. According to the [IFR/CS Appointment Calculation of Award Charges Spreadsheet](#) there are 23 SUNY working days for May 2012.
7. Determine how many of those working days are applicable to the spring 2012 effort reporting period:
 - a. In our example the spring effort reporting period of performance ends on May 23, 2012.
 - b. According to the calendar there are 17 working days from May 1 – 23, 2012:

May 2012						
Su	Mo	Tu	We	Th	Fr	Sa
29	30	1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	:X	:X	26
27	:X	:X	:X	:X		

8. Calculate the May 2012 payroll for the spring effort reporting period:
 - a. Divide the number of working days attributable to the effort reporting period by the total number of SUNY working days for the month to determine your multiplier.
 - b. Multiply the monthly PIAI payroll by the multiplier calculated in step 8a to get the prorated monthly payroll.

	8,379.59	SUNY May Payroll from PIAI
X	0.739130435	(17÷23 or the number of days attributable to the effort reporting period divided by the total SUNY working days for the month)
	6,193.61	Prorated SUNY May Payroll

9. Compare the prorated SUNY May payroll (highlighted in green above) to the May payroll from the **ecrt** payroll report and you will see the payroll amounts now match.

10. Likewise, if you add the prorated May 2012 payroll amount to the other PIAI payroll amounts for the spring 2012 effort reporting period you will see that the payroll totals now match (as indicated by the red boxes):

PER7 - Actual Expenditure Details

Employee Number:
 Person Name:
 Expenditure Type: SWM Salaries Oth Inst Activity
 Organization: 020 SUNY IFR Cost Sharing
 Expenditure Start Date: 01-JAN-2012
 Expenditure End Date: 31-MAY-2012

Award	Project	Task	Expenditure Item Date	Posted Date	Actual Expenditure	Comments	Payroll with Prorated May Amount
000257	1013538	1	31-JAN-12	January -2012	10,843.96	O:PAY:1 2012 Calendar Month:	10,843.96
000257	1013538	1	29-FEB-12	February -2012	10,351.06	O:PAY:2 2012 Calendar Month:	10,351.06
000257	1013538	1	30-MAR-12	March -2012	10,843.96	O:PAY:3 2012 Calendar Month:	10,843.96
000257	1013538	1	30-APR-12	April -2012	10,351.06	O:PAY:4 2012 Calendar Month:	10,351.06
000257	1013538	1	31-MAY-12	May -2012	8,379.59	O:PAY:5 2012 Calendar Month:	6,193.61
					50,769.63		48,583.65

ecrt Payroll Report:

Award	Pay Period	Payroll	Pay %	Employee Type	Payroll Type
000257 - 020 Other Institutional Activities	01/02/2012 to 01/31/2012	10843.96	19.74209	Binghamton SUNY-Monthly	Base
000257 - 020 Other Institutional Activities	02/01/2012 to 02/29/2012	10351.06	18.84474	Binghamton SUNY-Monthly	Base
000257 - 020 Other Institutional Activities	03/01/2012 to 03/30/2012	10843.96	19.74209	Binghamton SUNY-Monthly	Base
000257 - 020 Other Institutional Activities	04/02/2012 to 04/30/2012	10351.06	18.84474	Binghamton SUNY-Monthly	Base
000257 - 020 Other Institutional Activities	05/01/2012 to 05/23/2012	6193.61	11.27585	Binghamton SUNY-Monthly	Base
	Total:	48583.65			

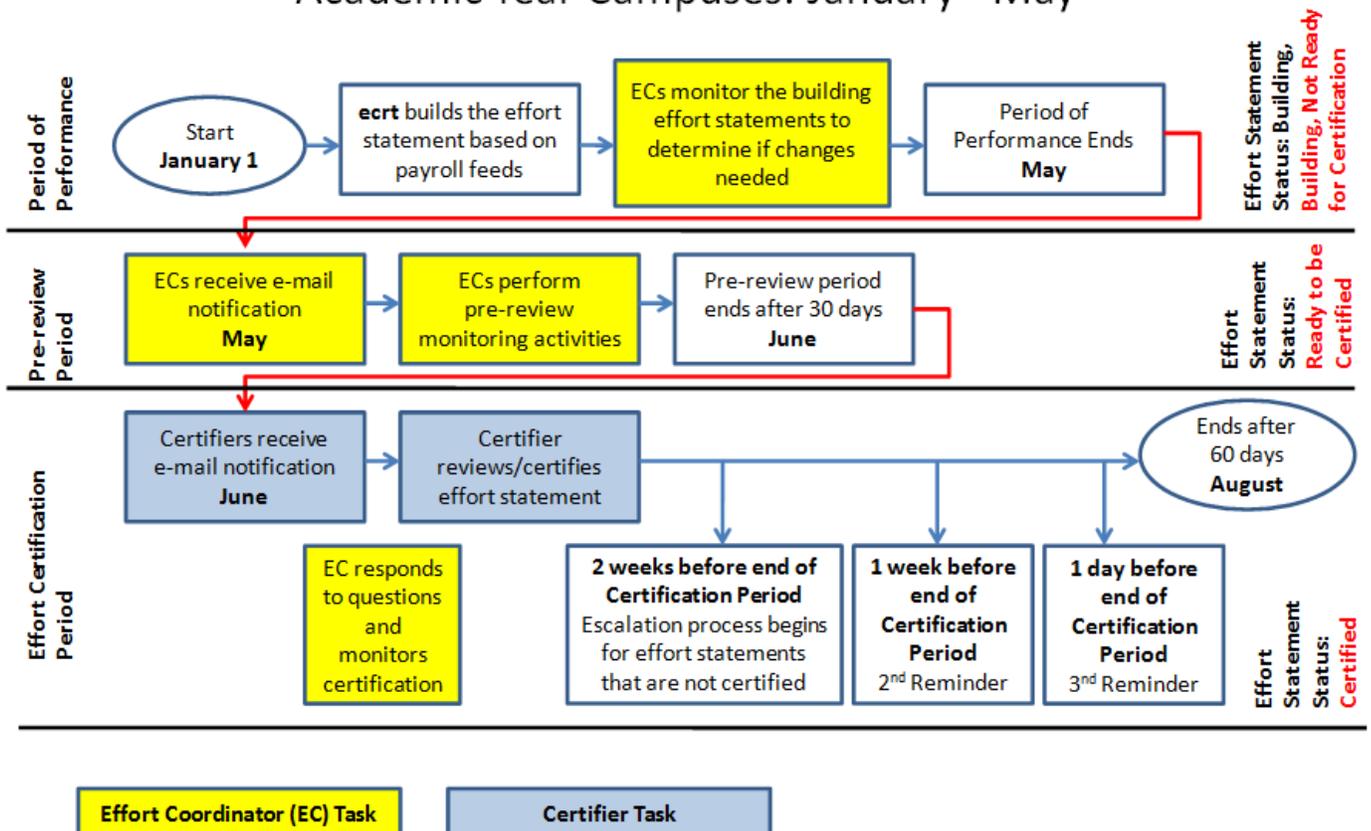
Effort Reporting Cycles: Academic Year Campuses

Notes:

- Unless listed, actual start and end dates within the effort reporting cycle are based on your campus academic calendar.
- **For Example:** If a campus spring semester runs from January 1 – May 23:
 - The period of performance would end on May 23.
 - The pre-review period would start (and effort coordinators would receive an e-mail) on May 24.
 - The pre-review period would end on June 22.
 - The certification period would start (and certifiers would receive an e-mail) on June 23.
 - The certification period would end on August 21.
- Campuses may change the timeframes for reminder e-mails sent during the certification period.

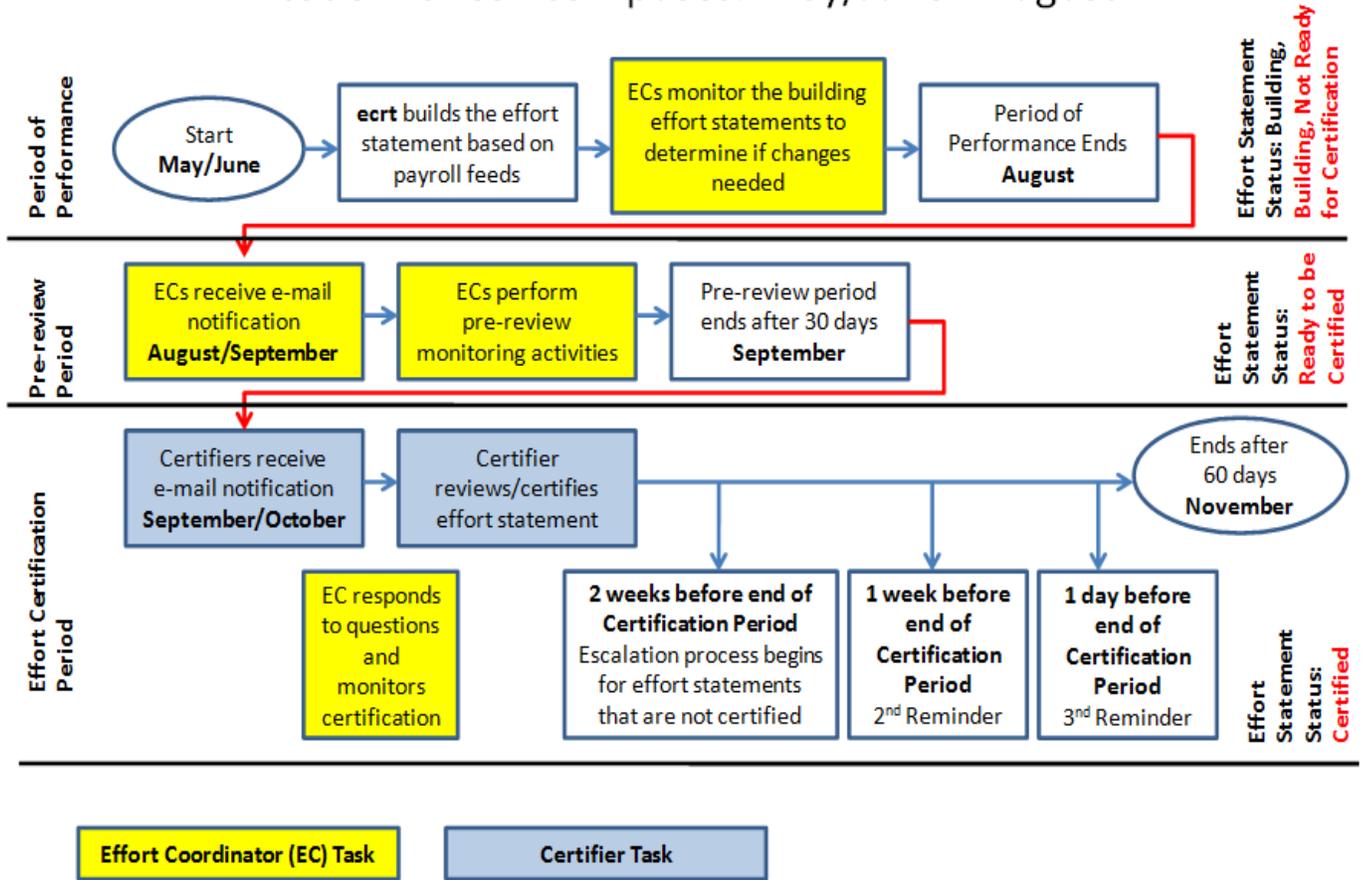
Spring Effort Reporting Cycle

Academic Year Campuses: January - May



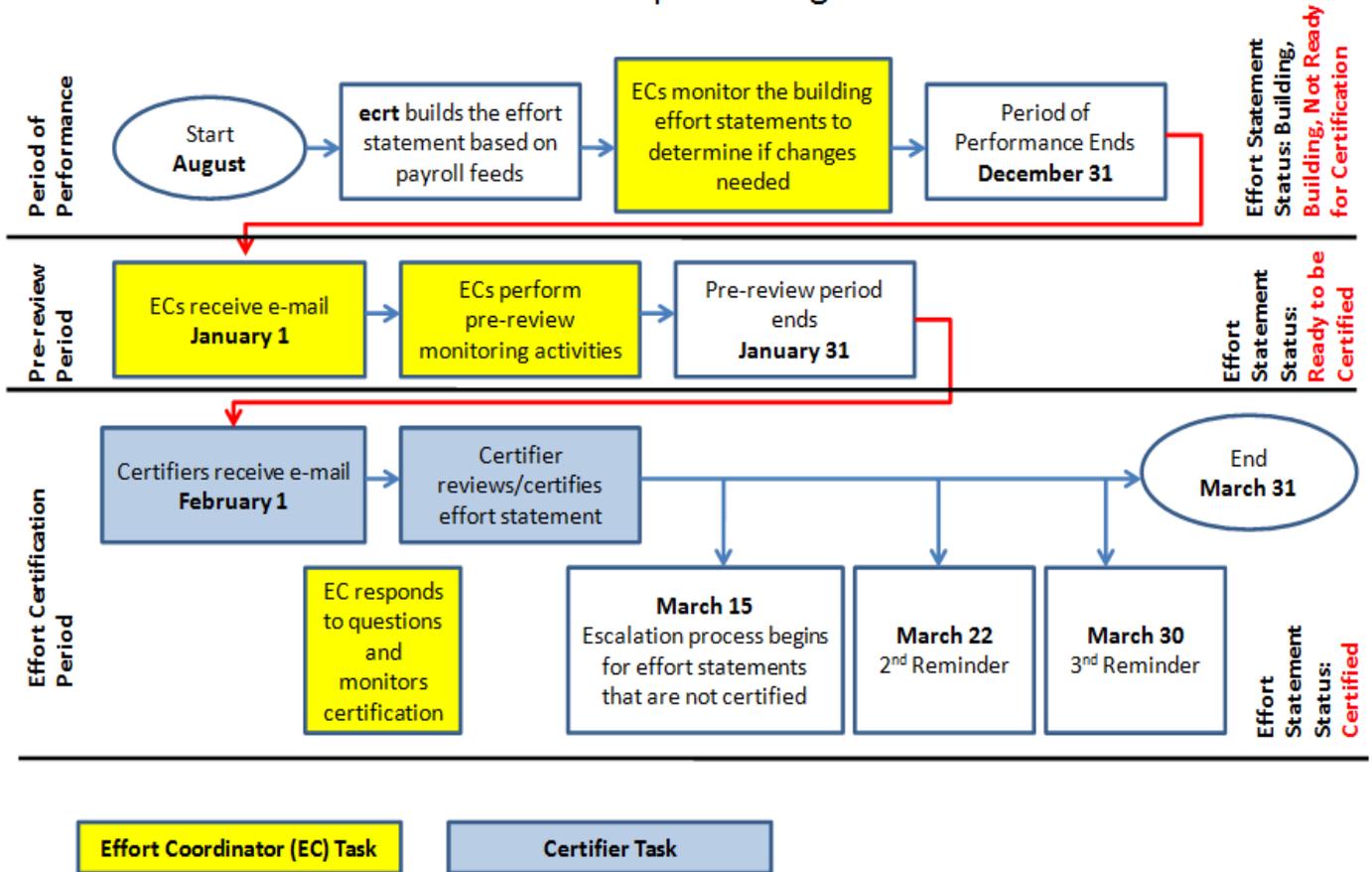
Summer Effort Reporting Cycle

Academic Year Campuses: May/June - August



Fall Effort Reporting Cycle

Academic Year Campuses: August – December

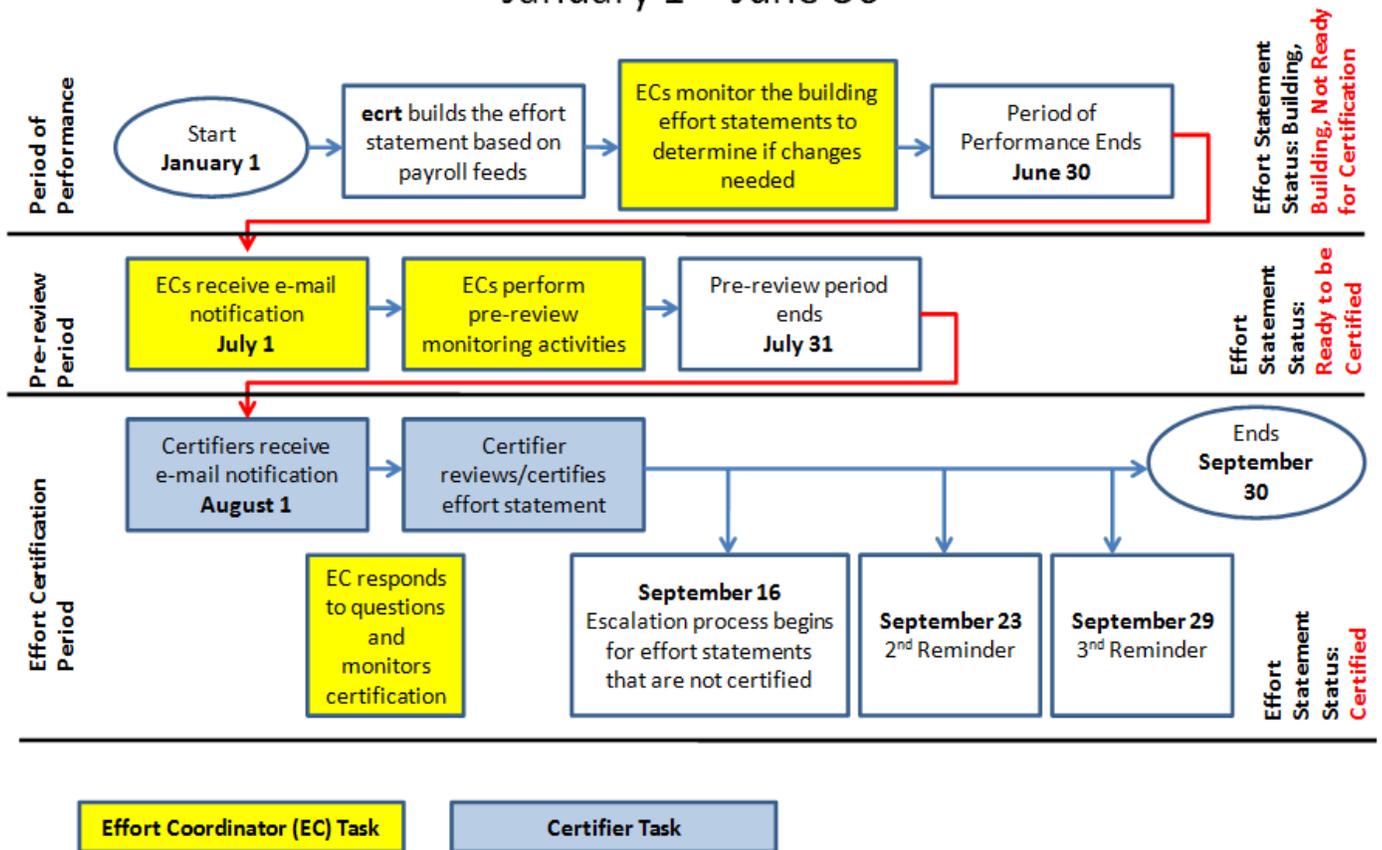


Effort Reporting Cycles: Half-Year Campuses

Note: Campuses may change the timeframes for reminder e-mails sent during the certification period.

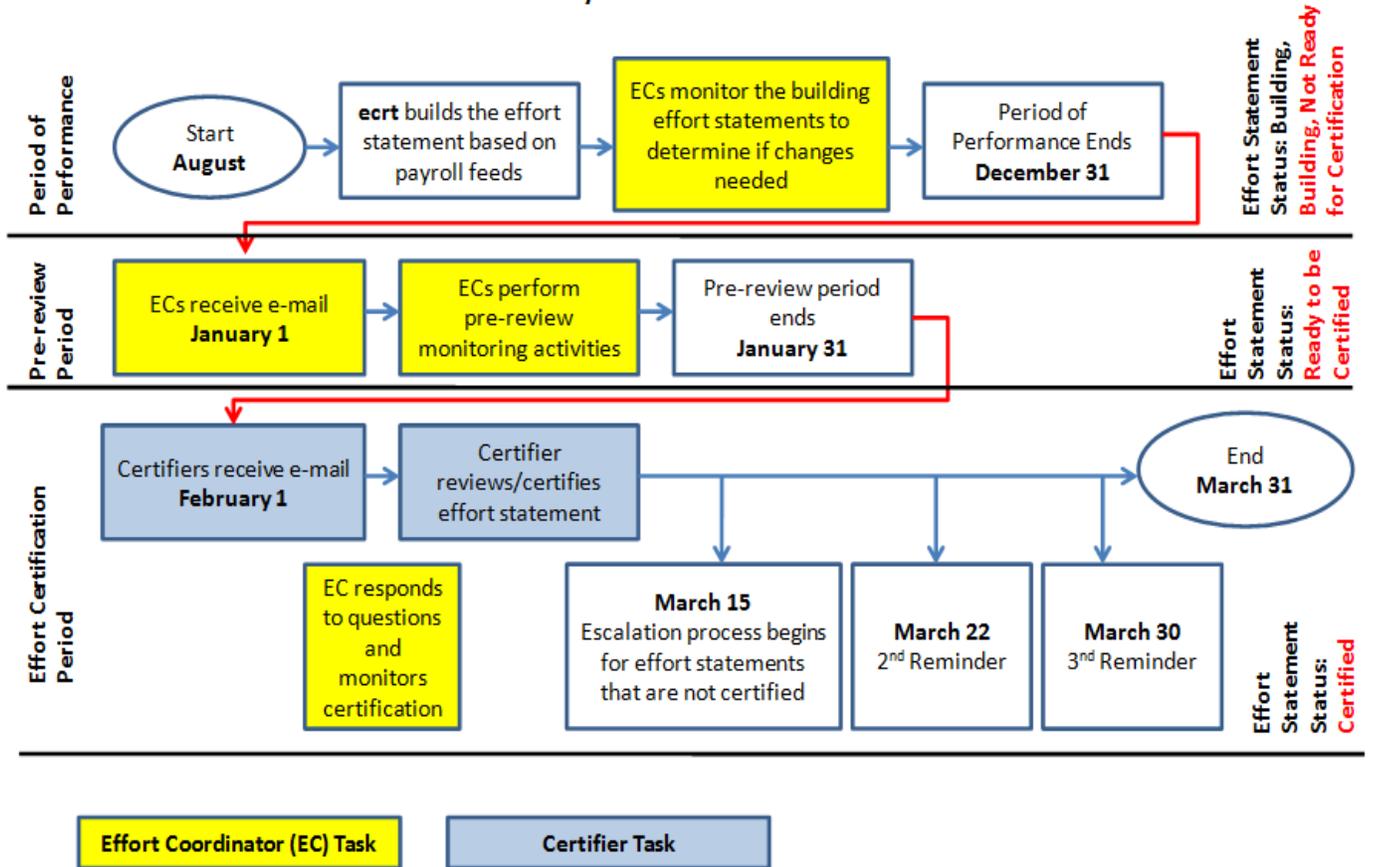
Effort Reporting Cycle for Half-Year Campuses

January 1 – June 30



Effort Reporting Cycle for Half-Year Campuses

July 1 – December 31



Effort Reporting Checklist

This checklist was created to assist campuses in tracking tasks performed during the entire effort reporting cycle. It is also available in an [Excel spreadsheet format](#).

No.	Task	Completed By	Date Completed	Notes
For Initial ecrt Roll-out				
1	1 month prior to start of Certification Period: Coordinate OM or VPR announcement e-mail with 1-page flyer attached			
2	1 month prior to start of Certification Period: Campus contact sends informational e-mail to PIs with "How to Certify Your Effort" document attached			
3	1 week prior to start of Certification Period: (Only for campuses using the RF portal to sign-in to ecrt) Campus contact sends e-mail with username to PIs			
Core Data Tasks				
4	Last month of period of performance: Process any SUNY IFR/Cost Sharing Appointment/ Change Forms that you have for the current effort reporting period of performance. Note: This should be completed before the monthly SUNY payroll process is run			
5	Ongoing: Run the HR_Active Assignment Details Discoverer query to monitor missing core data (Supplemental Administrator Training Materials, page 11)			
Pre-Review Tasks				
Note: Referenced page numbers refer to the Pre-Review Administrator Training materials unless otherwise noted				
Day 1 of Campus Pre-Review Period: Primary effort coordinators/effort coordinators receive an automatic notification from ecrt that the pre-review period has started				
Effort statement statuses are: Building, Not Ready for Certification				
6	Run the "Effort Not Equal to 100 Percent Report" to identify effort statements within or outside the tolerable certification range (Page 7)			
6a	(If applicable) Change the Certified Effort column percentages to 100 or 100.00 percent (Page 11)			
7	Run the "List of All Users report" to verify e-mail addresses, job titles and primary department names (Page 13)			

No.	Task	Completed By	Date Completed	Notes
7a	Coordinate with HR contact to input missing core data (Supplemental Administrator Training Materials, page 11)			
7b	Coordinate with HR contact to identify individuals who changed departments/responsibilities or are no longer at the campus (campus process)			
8	Run the "List of all Awards and their Associated Accounts Report" to verify cost share awards were established for all awards with cost sharing commitments and that salary expenditures were applied to cost share awards (Page 15)			
8a	Coordinate with Award Establishment contact to set up missing cost share awards (campus process)			
8b	Coordinate with HR contact to apply labor schedules to cost share awards missing salary expenditures (campus process)			
9	Run the "Certification Status Report" to create an initial roster of effort statements that need to be certified for the effort reporting period (Page 17)			
10	Put effort statements needing corrective action on hold (Page 22)			
10a	Run the SPES report to identify individuals with payroll in the campus SUNY CS&IFR Suspense Award (Page 23)			
10b	Run the SPES report to identify individuals with payroll in the campus RF Suspense Award (Page 23)			
10c	Run the SPES report to identify individuals with payroll overpayments (Page 23)			
10d	Run the "Individuals with Negative Payroll Report" (Page 26)			
10e	Run the "Award without Principal Investigators Report" (Page 28)			
11	Run the "Effort Statements on Hold Report" to create a roster of the effort statements that need corrective action (Page 30)			
12	Work with the appropriate campus contacts to complete corrective actions (campus process)			
12a	Add/update labor schedules and perform labor distribution adjustments			
12b	Award establishment contact to add/update award information, including cost share awards			
13	Wait for ecrt data upload to occur after a corrective action was completed in Oracle (every Monday for prior week activity)			

No.	Task	Completed By	Date Completed	Notes
14	Verify that the labor distribution adjustments or pre-generated distribution line requests corrected the effort statements placed on hold (Page 32)			
15	Remove the hold placed on an effort statement after the corrective action was completed and verified (Page 34)			
16	Run the "List of Staff by PI with Proxy Assignments Report" to determine if a proxy certifier or restricted effort coordinator assignment needs to be added, changed or removed (Page 35)			
17	Identify individuals with a mixture of federal and nonfederal and/or nonsponsored activity			
17a	Run the "Self Certifiers with Federal/Non-Federal/ Nonsponsored Effort Report" (Page 38)			
17b	Run the "Staff with Federal/Non-Federal/ Nonsponsored Effort Report" (Page 41)			
Certification Tasks				
Note: Referenced page numbers refer to the Certification Administrator Training Materials unless otherwise noted				
Day 1 of Campus Certification Period: Principal investigators, proxy certifiers and restricted effort coordinators receive an automatic notification from ecrt that the certification period has started				
Effort statement statuses are automatically changed to: Ready for Certification (for individuals with federal and/or federal flow-through activity; Automatically Processed (for individuals with 100 percent nonfederal and/or nonsponsored effort)				
18	(If applicable) Pre-certify the nonfederal and/or nonsponsored activity only (Administrator Pre-Review Training materials, pages 38 and 41)			
19	Run the "Certification Status Report" to create a roster of the effort statements that require certification (federal/federal flow-through activity) (Page 5)			
20	Continue the pre-review process for any effort statements that might still be on hold (Refer to Pre-Review Administrator Training Materials)			
20a	Run the "Effort Statement on Hold Report" for an updated roster of effort statements that are on hold			
20b	Perform and verify corrective actions fixed the issues			
20c	Remove the hold placed on an effort statement after the corrective action was completed and verified			
21	Process effort tasks			

No.	Task	Completed By	Date Completed	Notes
21a	Process an effort task for an effort statement with an attached file and/or note (Page 12)			
21b	Process an effort task for a retroactive labor distribution adjustment (Page 19)			
22	Manually certify an individual's effort statement if applicable (Page 15)			
22a	Process an effort task for a manually certified effort statement (Page 18)			
23	Change the status of an effort statement to no certification required (Page 29)			
24	Run the "Certification Status Report" weekly to monitor effort statement certifications (Page 31)			
Certification Verification Tasks				
	2 weeks before end of certification period: Reminder e-mail automatically sent by ecrt to certifiers who have not certified their effort statement(s)			
	1 week before end of certification period: Reminder e-mail automatically sent by ecrt to certifiers who have not certified their effort statement(s)			
	1 day before end of certification period: Reminder e-mail automatically sent by ecrt to certifiers who have not certified their effort statement(s)			
25	Begin campus escalation process if there are still outstanding effort statement certifications			
26	Run the "Certification Status Report" to verify that all effort statements were certified--save the final report in your campus records			

Effort Reporting Glossary of Terms

Term	Definition
<ul style="list-style-type: none"> • Account • Award • Sponsored Program 	<p>Synonymous terms that refer to the externally funded activity in which a written grant, contract or cooperative agreement is received by the Research Foundation (RF) on behalf of SUNY.</p> <p>These appear on a PI's effort statement with the percentage of effort that was devoted to the award during the effort reporting period of performance.</p>
Active Award	An award with an end date the day you are viewing the information or later.
<ul style="list-style-type: none"> • Actual Effort • Effort 	<p>Synonymous terms that refer to the proportion of time spent by the individual on any activity during the period of performance. Effort is displayed on the effort statement as a percentage of total institutional activities for which an Individual is compensated.</p> <p>Effort is not calculated on a 40-hour workweek or any other standard workweek. For example, if an Individual averages 60 hours per week during the period of performance and spends an average of 15 hours on a Sponsored Program, that represents 25% Actual Effort (15/60) and the other 45 hours, allocated to other institutional activities, represents 75% Actual Effort (45/60).</p>
Approver	The campus effort reporting administrator who is responsible for reviewing and processing certain tasks during the effort reporting process.
Base	The default effort statement type that refers to an individual's institutional base salary (IBS) effort statement.
Certification Period	The period of time during which individuals must certify their effort.
<ul style="list-style-type: none"> • Certifier • Self-certifier 	Synonymous terms that refer to the individual who certifies effort statements.
Certified Effort	The percentage of effort that the certifier is attesting to have devoted to a sponsored program or other activity. It includes effort that was reimbursed by the sponsor as well as any unreimbursed (or cost shared) effort.
Committed Effort	<p>The amount or percentage of time that faculty members, researchers or senior/key personnel commit to (agree to work on) a specific sponsored award.</p> <p>The commitment—or budgeted amount—is set at the time a proposal is submitted by a campus and accepted by the sponsor. Committed effort may not always equal paid effort; it is not necessarily the actual effort expended, but a projected amount to be achieved over a period of time. Commitments are specific and quantified, and are generally expressed in terms of a percentage or person months of work time over a given project period.</p> <p>Committed effort includes:</p> <ul style="list-style-type: none"> • Reimbursed payroll charges: Salary expenses that are charged directly to the sponsored program. The sponsor reimburses these charges to the Research Foundation (RF) and the RF reimburses SUNY via the income fund reimbursable process. • Unreimbursed payroll charges: Salary expenses that are cost shared and charged to a source other than the sponsor, e.g., nonfederal sponsor or other campus sources. A cost sharing award is set up in Oracle to track these charges.

Term	Definition
Cost Sharing	<p>Cost sharing is that portion of a sponsored program budget that is contributed by the institution and/or other nonfederal sponsors. It is not reimbursed by the sponsor, and can be:</p> <ul style="list-style-type: none"> • Mandatory: Cost sharing required as a condition of an award or agreed to by the institution and sponsor during sponsored agreement negotiation. • Voluntary committed: Effort (or other costs) not required by the sponsor but proposed in the sponsor budget or narrative with no corresponding sponsor funding requested or awarded. • Voluntary uncommitted: Faculty and senior researchers' effort (or other costs) that is over and above that which is identified and budgeted for in a proposal and award. <p>In accordance with OMB Circular A-110, cost sharing also means "matching."</p>
Department	The individual's primary department.
ecrt	The RF's electronic effort reporting tool – Effort Certification and Reporting Technology.
Effort Reporting Administrator	The campus person responsible for coordinating the effort reporting process.
Effort Reporting Period of Performance	<p>The time period included on an effort statement.</p> <p>For academic-year campuses effort statements are created for the spring, summer and fall periods. For semiannual campuses effort statements are created for the January 1 – June 30 and July 1 – December 31 periods.</p>
Effort Statement	Report that is produced in ecrt that encompasses all the payroll, cost share, and commitment information for a specific individual for the period of performance.
Inactive Award	An award with an end date that is earlier than the day you are viewing the information.
Institutional Base Salary (IBS)	The total guaranteed annual compensation an individual receives. IBS is used to compute salaries charged to sponsored programs unless sponsor policies limit the maximum annual compensation rate.
Nonsponsored Individuals	People in a department who have effort exclusively on nonsponsored accounts. These people are not required to certify their effort. Effort statements are built in ecrt and are automatically processed.
Other Institutional Activities	All activities—other than sponsored programs—that are performed by an individual to fulfill his or her obligation to SUNY.
Proposed Effort	The amount of effort that an individual submits on a proposal. It is the amount of effort that an individual will devote to a sponsored program assuming the proposal is awarded and the program is funded.
Salary Charges	Payroll amounts used to calculate the percentage of effort during the effort reporting period of performance. Salary charges include those that are directly charged to the sponsor as well as salary charges that are not reimbursed (or cost shared) by the sponsor.
Statement Owner	The individual whose effort is displayed on the ecrt effort statement.
Work List	The ecrt home page that includes a list of tasks that need to be completed by that user, e.g., certifying an effort statement.

Change History

Date	Section of Guide	Revision
May 2013	New section Page 3	Added information about the labor distribution adjustment process in ecrt
May 2013	Monitoring Core Information for SUNY ecrt Users, Pages 8 and 10	Added links to revised SUNY IFR/Cost Sharing Appointment/Change Form and the “Income Fund Reimbursable (IFR) and Cost Sharing (CS) Assignments” procedure document
May 2013	New section Page 14	Added information about nonexempt employees
May 2013	New section, Page 30	Added Effort Reporting Checklist
May 2013	New section, Page 34	Added Effort Reporting Glossary of Terms
February 2013		New guide